| Form PTO-1449 Department of Commerce Patent and Trademark Office | | Docket No. PAT013 | | | Serial No. Unassigned | | | | |
|------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------|------------------------|--------------|------------------------------|----------|-----------------------|--|--|
| INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION | | Applicants James N. Baillargeon and Stefan J. Murry | | | | | | | |
| (Use several sheets if necessary) | | Filing Date Herewith | | | Group Art Unit Unassigned | | | | |
| | | 1 | U.S. PATENT DOCU | MENTS | | | · | | |
| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | | IG DATE PPROPRIATE | | |
| R | 5,468,656 | 11/21/95 | Shieh et al. | | | | | | |
| | 5,548,607 | 08/20/96 | Tsang, Won-Tien | | | | | | |
| | 5,625,636 | 04/29/97 | Bryan et al. | | | | | | |
| _ | 5,805,755 | 09/08/98 | Amersfoot et al. | | | | | | |
| | 5,867,521 | 01/01/99 | Macomber | | | | | | |
| | 5,901,168 | 05/04/99 | Baillargeon et al. | | | | | | |
| | 5,985,686 | 11/16/99 | Jayaraman | | | | | | |
| A | 6,162,655 | 12/19/00 | Johnson et al. | | | | | | |
| • | | FO | REIGN PATENT DO | CUMENTS | | | | | |
| | DOCUMENT NUMBER | | DATE COUNTRY CLASS | | | | NSLATION NO | | |
| | | | | | | | | | |
| | OT | HER (Includ | ing Author, Title, Dat | e, Pertinent | Pages, Etc.) | <u> </u> | | | |
| M | MacDougal et al., "Electrically-Pumped Vertical-Cavity Lasers with A10-GaAs Reflectors," IEEE Photonics Tech. Letters, Vol. 8, No. 3, (1996) pp. 310-312. | | | | | | | | |
| 1 | Sandusky, J. and Brueck, S., "A CW External-Cavity Surface-Emitting Laser," <i>IEEE Photonics Tech. Letters</i> , Vol. 8, No. 3, (1996), pp. 313-315. | | | | | | | | |
| | Hauffe et al., "Methods of Passive Fiber Chip Coupling of Integrated Optical Devices," Proc. 2000 Electronic Components and Technology Conference, (2000), pp. 238-243. | | | | | | | | |
| | Noll, R. J. and Macomber, S. H., "Analysis of Grating Surface Emitting Lasers," <i>IEEE J. Quantum Electronics</i> , Vol. 26, No. 3, (1990), pp. 456-466. | | | | | | | | |
| 10 | Optoelectronic Packaging, eds. Mickelson et al., (New York: John Wiley & Sons, 1997), esp. ch. 9, "Array Device Packaging," by Nagesh R. Basavanhally & Ronald A. Nordin, esp. pp. 143-148. | | | | | | | | |
| XAMINER | Arrence | 1 Rex | discor | DATE C | ONSIDERED | 9- | 21-02 | | |

| Form PTO-1449 Department of Commerce Patent and Trademark Office | | Docket No PA | // | EER 1 9 ZOUZ | Serial No. 09/855 | ,853 | | | | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|--------------------|---------------------------------------|----------------------|-------------------------------|--|--|--|--|
| INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION | | Applicants Stefan J. Murry and Lames Saillargeon | | | | | | | | |
| (Use several sheets if necessary) | | Filing Date | y 15, 2001 | | Group Art Unit 2881 | | | | | |
| U.S. PATENT DOCUMENTS | | | | | | | | | | |
| *EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | * | | | | | | | | | |
| | | | | | | · | | | | |
| | | | | | | | | | | |
| | | : | | | | | | | | |
| | | | | | · | | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | | | | |
| | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION YES NO | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | от | IER (Includ | ing Author, Title, | Date, Pertinent | Pages, Etc.) | | | | | |
| AX | Okamoto, Katsunari, "Hybrid Integration Technology Using PLC Platforms," Fundamentals of Optical Waveguides, (2000), Section 9.7, pp. 390-400. | | | | | | | | | |
| | | | | | | | | | | |
| | · · · · · · · · | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | , | · · · · · · · · · · · · · · · · · · · | | | | | | |
| EXAMINER | Avmaske | Podr | 14Z | DATE CO | ONSIDERED | 1-21-02 | | | | |
| EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant. | | | | | | | | | | |